



DIRECTIVE R9

PROTOTYPE OF GENERAL INSTRUCTIONS AND FILE PLAN FOR COMMISSIONS/COMMITTEES OF INQUIRY

National Archives and Records Service of South Africa

June 2003

INSTRUCTIONS TO COMPILER OF FILE PLAN

- (i) This prototype should be used for the compilation of a file plan for Commissions/Committees of Inquiry where a separate file plan is needed.
- (ii) Before implementation the file plan should be submitted in duplicate to the National Archivist, National Archives and Records Service of South Africa, Private Bag X236, Pretoria (tel. 323 5300) for formal approval.
- (iii) In provinces that do have their own archival legislation and or an archival infrastructure draft file plans of Commissions/Committees of provincial administrations should be submitted to the archives service in the relevant province (See Annexure A for the contact details).
- (iv) The file plan must be retained in the same format as set out in the prototype.
- (v) Adapt the following paragraphs of the general instructions as indicated below:

Paragraph 1: Insert the name of the Commission/Committee here.

Paragraph 2: Insert the year of implementation of the file plan after 1/... and 2/...

Paragraph 6: Insert the date on which the file plan is implemented.

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COMMISSION/COMMITTEE OF INQUIRY INTO

FILE PLAN

INDEX

- a) General instructions.
- b) Subject classification.

GENERAL INSTRUCTIONS

(These instructions should be read in conjunction with specific notes which have been provided in brackets in the subject classification.)

NAME OF COMMISSION/COMMITTEE

1. This file plan is for the use of _____ and no alterations or additions may be made without the prior approval of the National Archivist.

REPORTING

2. All amendments and additions (the omission or insertion of an underlining is also regarded as an amendment) should be submitted regularly to the National Archivist for notification and formal approval. In cases where the amendments and additions are circulated by means of circular minutes, it will suffice to forward a copy thereof to the National Archivist. For easy reference and effective control the notifications should be numbered each year, starting at number one, eg. 1/..., 2/..., etc. It is advisable that in cases where major amendments and/or additions are required, the prior approval of the National Archivist be obtained before any new files are opened.

CONTROL OF SYSTEM

3. Control of the file plan is assigned to the Secretary of the Commission/Committee who is the Records Manager. The duties of the Records Manager comprise inter alia the following:

- a) Control of the opening of files, see par. 2 and 4.
- b) Control of the opening of file covers, see par. 4, 5, 7, 8, 9, 10.3 and 10.4.
- c) Control of the filing of correspondence, see par. 10.1-10.4.
- d) Responsible for the disposal of records, see par. 11.2.
- e) Control over the confidentiality of documents, see par. 10.2 and 11.1.

MASTER COPY

4. The master copy is that copy of the file plan which contains all approved subjects. No file may be opened unless the file description has already been recorded in the master copy and the approval of the Records Manager has been obtained.

REGISTER OF FILES OPENED

5. The purpose of this register is to keep a complete record of ALL files opened. A loose-leaf binder is recommended as it enables the insertion of extra pages which are usually required for case files which form part of the subject classification. The register is maintained in the same form as the file plan and files are entered in the same consecutive order. An extra column must be provided opposite the file description in which to note the date of opening next to the file title. The first page of the register must indicate the name of the office to which the system is applicable as well as the date of implementation. A register of secret files opened is to be maintained in the same manner.

IMPLEMENTATION

6. This file plan will be implemented on _____.

OPENING OF FILES AND DESCRIPTION ON FILE COVERS

7. Files should be opened only when required. Care should be taken that the numbering and descriptions of the files, as indicated in the file plan, are strictly adhered to. Titles should be printed in indelible ink. The dates of first and last correspondence as well as applicable disposal instructions when available, should be indicated on the file cover. Worn covers should be replaced regularly.

UNDERLINED DESCRIPTIONS

8. All underlined descriptions indicate subject headings only. Subdivisions must be made under these subject descriptions. No file may be opened for any underlined description.

EXPLANATIONS IN BRACKETS

9. The explanations in brackets under the subject headings or file descriptions are intended as a guide and should not be entered on file covers.

FILING OF CORRESPONDENCE

10. ACCURATE FILING OF CORRESPONDENCE

10.1 All officials should be supplied with a copy of the file plan. Officials must ensure that they are conversant with the series with which they work and should ensure that all correspondence is dealt with on the correct file. Incorrect filing should be rectified immediately to ensure that valuable documents are not destroyed and to prevent the retention of ephemeral documents. The Records Manager should scrutinise the office daily file regularly to ensure that all correspondence is dealt with on the correct files.

DOCUMENTS OF A PRIVILEGED NATURE

10.2 Separate provision has been made with regard to 6/3 and 6/4 for matters of a privileged nature. Under no circumstances may such matters/correspondence be filed/kept with other correspondence. (It also applies to documentation that should not be filed.) The separate provision for these matters may not be omitted from the file plan.

ANNEXURE FILE COVERS

10.3 An additional cover must be opened where necessary for storing bulky literature, etc. which would otherwise result in the unnecessary increase in the volume of a correspondence file. No correspondence, however, may be dealt with on such a cover. The cover should be marked clearly with the correspondence file reference number and "Annexure File" written on the outside cover. Every document contained in the Annexure file must bear a cross-reference to the relevant correspondence file on which it was received.

THICKNESS OF FILES

10.4 Files should not exceed 3cm. in thickness. On reaching this thickness a file must be closed and a new cover must be opened. The number of the new volume (eg. vol. 2) must be indicated on the outside of the new cover. A sheet of paper with the wording "Closed, see volume ..." should be filed as the last item on the closed volume.

DISPOSAL OF RECORDS

11.1 CONFIDENTIAL DOCUMENTS

11.1.1 The documents of a Commission/Committee are normally of a confidential nature and care should be taken to prevent them from falling into unauthorised hands. The Secretary of the Commission/Committee must therefore see to it that all items bearing information on the Inquiry which have been sent to and procured by members, are transferred to him/her upon the completion of the Inquiry, or on the cessation of membership. It must be noted on the items from which member it has been received. Items such as these may under no circumstances be

made available to any other person or body.

11.2 As soon as the work of the Commission/Committee has been completed, a list of the files must be drawn up and submitted to the National Archivist, who will indicate where these files are to be sent for safe keeping.

LIST OF MAIN SERIES

01. THE COMMISSION/COMMITTEE
02. MEETINGS
03. RECORDS MANAGEMENT
04. ACCOMMODATION, SUPPLIES AND SERVICES
05. FINANCE
06. GATHERING OF INFORMATION
07. PROCESSING OF INFORMATION

NUMBER	DESCRIPTION
01	<u>THE COMMISSION/COMMITTEE</u>
01/01	Appointment, assignment and members
02	<u>MEETINGS</u>
02/01	Arrangements
02/02	Minutes (signed copy.)
02/02/01	Distribution of minutes
03	<u>RECORDS MANAGEMENT</u>
03/01	File plan and disposal of records
04	<u>ACCOMMODATION, SUPPLIES AND SERVICES</u>
04/01	Office accomodation
04/02	Supplies
04/03	Services
05	<u>FINANCE</u>
05/01	Estimates, expenditure and claims
06	<u>GATHERING OF INFORMATION</u>
06/01	Publicity (eg. Press statements.)
06/02	Travel Arrangements (i.e. other than for normal meetings, eg. for investigations.)
06/03	<u>Written Evidence</u> (1. See paragraph 10.2 of the general instructions. 2. Subdivide the undermentioned files where necessary, eg. according to the type of body or aspects of the assignment, etc.)
06/03/01	Documents of a privileged nature
06/03/02	Other documents

NUMBER	DESCRIPTION
06/04	<u>Record of verbal evidence</u> (See paragraph 10.2 of the general instructions.)
06/04/01	Documents of a privileged nature
06/04/02	Other documents
06/05	Literature
07	<u>PROCESSING OF INFORMATION</u>
07/01	Distribution of copies to members (1. Refer to paragraph 11 of the general instructions. 2. For distribution of the minutes use 2/2/1.)
07/02	Report and recommendation (For printing of report use 4/3.)

ANNEXURE A

Cape Town Archives Repository

The Head

Postal address: Private Bag X9025, Cape Town 8000

Street address: 72 Roeland Street, Cape Town

Tel.: (021) 462 4050

Fax: (021) 465 2960

E-mail: capearch01@hotmail.com

Free State Archives Repository

The Head

Postal address: Private Bag X20504, Bloemfontein 9300

Street address: 29 Badenhorst Street, Bloemfontein

Tel.: (051) 522 6762

Fax: (051) 522 6765

E-mail: fsarch01@hotmail.com

Eastern Cape Provincial Archives

Eastern Cape Provincial Archives, Head Office

The Provincial Archivist

Postal address: Private Bag X7486, King William's Town 5600

Street address: 5 Eales Street, King William's Town

Tel.: (043) 643 3043

Fax: (043) 643 3375

Port Elizabeth Archives Repository

The Head

Postal address: Private Bag X3932, Port Elizabeth 6056

Street address: 1 De Villiers Street, Port Elizabeth

Tel.: (041) 484 6451

Fax: (041) 484 6451

Umtata Archives Repository

The Head

Postal address: Private Bag X5095, Umtata 5100

Street address: c/o Owen Street and Alexander Road, Umtata

KwaZulu-Natal Archives

KwaZulu-Natal Archives, Head Office
The Acting Provincial Archivist
Postal address: Private Bag X75, Ulundi 3838
Street address: Block 4, Unit A, Ulundi
Tel.: (035) 879 8500
Fax: (035) 879 8518

Durban Archives Repository

The Head
Postal address: Private Bag X22, Greyville 4023
Street address: Nashua House, 14 De Mazenod Street, Greyville
Tel.: (031) 309 5682
Fax: (031) 309 5685
E-Mail: dbnarchives@kznedu.kzntl.gov.za

Pietermaritzburg Archives Repository

The Head
Postal address: Private Bag X9012, Pietermaritzburg 3200
Street address: 231 Pietermaritz Street, Pietermaritzburg
Tel.: (033) 342 4712
Fax: (033) 394 4353
E-mail: pmbarchives@kznedu.kzntl.gov.za

Northern Cape Archival Services

The Head
Postal address: Private Bag X5004, Kimberley 8300
Street address: 6th Floor Dutoitspan Building, Dutoitspan Road, Kimberley 8301
Tel.: (053) 831 1761
Fax: (053) 833 4353
E-mail: aluxton@ds.ncape.gov.za

Limpopo Province Archives Services

The Provincial Archivist
Postal address: Private Bag X9549, Polokwane 0700
Tel.: (015) 299 7728
Fax: (015) 295 2043
E-mail: nkatingij@sac.norprov.gov.za

Mpumalanga Archives Services

The Provincial Archivist

Postal address: PO Box 1243, Nelspruit 1200

Tel.: (013) 766 5063

Fax: (013) 766 5594/1

E-mail: pmodiba@nel.mpu.gov.za

North West Archives Services

Postal address: Private Bag X6, Mmabatho 2735

Tel.: (018) 387 0244

Fax: (018) 392 1087

E-mail: lmokoena@nwpg.org.za